RESULTS OF JUNE 3-4 DOI COLLABORATION FRAMEWORK WORKSHOP

DISCUSSION: **EXPECTATIONS**
- Graphic of collaborative processes
- Learn from each other, create model
- Partnering with others
- Take away addtl skills
- Understand what's happening throughout DOI
- Processes to further coordinate inter-agency efforts
- Impetus to produce products
- Improve existing training
- Learn more about range of tools
- Get to know folks, opportunities for collaboration across depts.
- What we all do, partnering opps
- What e/o is doing, how to use
- Understanding impediments
- Understand terms, processes, strategies, esp for field offices
- Develop framework for gambit of processes
- Training ideas
- How we all fit together
- Tribal consultation in relation to other processes
- ID what's out there, provide advice/referral to ADR/collaboration
- Getting out in front of problems
- Basic training P2, NEPA before in front of public, diagram of where to go
- How collaboration/conflict resolution related to mgmt competencies
- Performance review and collaboration
- Avoid inefficiencies
- Be more instrumental in ADR solicitor's office
- Learn from others/build relationships
- Learn more and later use
- Keep current on innovations
- Sharing cross bureau
- Share info between depts.
- Better coordination
- Scope of ADR better descriptions
- Improve skills-bring back
- When to use processes
- Understand processes
- What alternatives are available
- Improve efficiencies through better understanding
- See gamut of processes and how OD can marry those

DISCUSSION: **IDEAS FOR THE FRAMEWORK**
- Stewardship – overall goal (goal/outcome?)
- Difficulty of hierarchies/subtopics
- Collaboration as mindset for any number of tools/strategies – a way of doing business
- Is ADR more than mediation, fact finding
- Is Organizational development a collaboration strategy
- Purpose of framework for whom? What?
- Place-based community/ecosystem, stewardship/partnership/collaboration
- Community engagement/involvement, unique communities and special needs, diverse tools as related to audiences
- Inform, consult, et. Chart (these are not mutually exclusive)
- Public outreach/information as underpinning
- What are goals trying to meet?
- Planning worksheet: "my goal is…?" Which tools for what end? Stages – where are you?
- 2 approaches: goal oriented chart, culture structure issues
- Involvement – careful use/what does this mean/how much devolution?
- Enforcement/permitting?

DISCUSSION: **ADAPTIVE MANAGEMENT/NEGOTIATED RULEMAKING**
- Decision-based processes, policies, plans, regs
- Activity based processes, leverage process
- Terms bleed into one another
- Intent/purpose, Stewardship, other
- ADR and P2 broad and multiple definitions

DISCUSSION: **PUBLIC OUTREACH/ORGANIZATIONAL DEVELOPMENT**
1. Joint Fact Finding, Strategy or tool?
2. Advisory committees, strategy or tool?
3. Multi-party monitoring
4. State/Fed agency consultation
5. Ultimate goals/intents?

DISCUSSION: **ACTIVE (learned) VS. PASSIVE SKILLS (behavioral/intuitive)**
1. Recognize needed competencies for specific activities. What is core for specific processes?
2. How do you create them and measure them
3. How to incorporate into culture. Outside the box vs. outside the culture. Impact of organ. Structure.

DISCUSSION: **WHAT SHOULD THE PROPOSED TOOL ACHIEVE?**
- Common language and terms
- Evaluate goals/intents
- What tools, resources, strategies to apply
- Understand what the decision space is
- To empower users to use/apply tools (CYA)
- To understand creative options
- Provide context – relate to similar situations, precedents cross-reference use terminology
- Understand legal viability
- Legal and policy considerations
- What resources will they need to apply process and some connection on how to get them
- Who to call for help
  o The resource guide   w/ strategies + tools   link to web
- How to apply the specific program issues – tie to case studies
- Reality check on appropriate level of collaboration
- When not to collaborate, how to determine switch
- Appropriate roles of DOI staff
- How to promote ADR when already in litigation
- Push application of collaboration upstream
- Consistency of messaging
- Solicitor position paper n roles and advice
- Goal orientation, why are we doing collaboration?
- Tool needs to be consumer friendly
- All collaborative processes are interest based
- Collaboration is a choice
- Fluid, flexible tool
- Surface conflict early is good
- Could have 95% success and still end up in dispute
- Start from where we are, training, explaining, selecting are purpose of tool
- Include conflict scenarios, not just collaboration
- Skills will also be along spectrum
- Intersection of ADR and Collaboration
- Are we assessing what we could have done differently and impacts of non-collaboration
- Line where collaboration crosses over into dispute

DISCUSSION: **WHO NEEDS TO USE THE PROPOSED TOOL?**
- Training instructors/training program people
- Field staff
- Field managers
- Attorneys/solicitors, role in training? Consulting then process
- The public/stakeholders
- Senior headquarter managers
- Other agencies/bureaus
- Disputants and their counsel

***DISCUSSION:* IMPEDIMENTS TO GOOD COLLABORATIVE PROCESS**
- Resources = $, expertise
- OMB paperwork reduction
- Performance Review criteria
- Time
- Budgeting/coding/planning process
- APA when formal process quicks in role of facilitator
- FACA requirements <u>LONG SHADOW</u>
- 4Cs relation, need better understanding
- What about negotiation as part of ADR?
- Chairs or facilitators
- Culture: hiring, skills, perf reviews, $, resources
- Underlying principle: Clarity and honesty
- Survey limited to who filled it out – tool only
- Communication between field and headquarters
- Who is the public/stakeholder(?)
- Adaptive management and those processes(?)
- Level of expectation post-collaboration – degree of influence, stability of influence, how and how not?
- Defining success of those processes and job performance related to collaboration
- Dispute resolution from ADR – distinguish classical legal process (settlement, negotiation) and ADR
- Resources – mentors, training already available, outside resources
- Strategy vs. tactics
- Fixing problems of solving and preventing them

***DISCUSSION:* FACA**
- Don't forget OMB, APA, other
- Come early – late turns molehill into mountain
- Impediment or friend?
- Clarity and guidance
- Perception, practicalities, loyalties – demystify
- Add to trainings
- Cultural change
- Long shadow
- Headquarters to field and back on this

OUTCOME: **COMMON COLLABORATION STRATEGIES ACROSS DOI**
- ADR
- Reg-Neg
- Public Participation and Outreach
- Partnering
- Consensus building
- Community based collaboration
- Interest Based negotiation
- Joint fact finding
- Adaptive Management/multi-party monitoring
- Consultation (tribal, state)

OUTCOME: **DRAFT OUTLINE OF A FRAMEWORK FOR COLLABORATION**

PREAMBLE
- Why this tool this way
- Link to mission
- Value of relationship building
- Increasing effectiveness through collaboration
- Importance of clarity of intent and relationship to expectations
- Value of clarity of language

LEVELS OF ENGAGEMENT
- Inform
- Seek input
- Involve
- Seek consensus
- Empower

INFORMATION CONTENT
- Intent
- Goal
- Commitment
- Tools

	Inform	Seek Input	Involve	Seek Consensus	Empower
Intent					
Goal					
Commitment					
Tools					

OUTCOME: **COLLABORATION PRINCIPLES**

- All the right parties are there
    - Inclusiveness not exclusiveness
    - Include full range of interests
    - Communities of place and interest
    - Synergy – 1+1=3
- All voices are heard and respected
    - Openness
    - Establishing scope
    - Open to hear interests and values
- Voluntariness
    - Decisional consensus
- Relationship focus
    - Operating in good faith
    - Communication
    - Respectful
    - Appropriate length of time allowed for process
    - Ability to admit mistakes
- Outcome-oriented process
    - Implementable
    - Continual evaluation and monitoring
    - Articulation of agreements, scope and boundries
    - Shared expectation
    - Adaptive management
- Assure resources and information necessary for success are available to all parties
    - Respect and include info from all sources
- Transparency
    - Good faith
    - Openly address conflict
    - Common language
    - Authority delineated
    - Clarity of expectations
- Shared accountability and responsibility
    - Commitment to process and goals
    - Timeliness
    - Includes commitment of agency

OUTCOME: **COMPETENCIES NEEDED AMONG DOI STAFF**

CORE OBJECTIVES
- Stewardship
- Public trust
- Agency values and missions
- SHARED GOVERNANCE

OUTCOMES
- Decisions
  - Ownership
  - Better informed (technical, scientific, indigenous)
  - Integrative
  - Sustainable
- Relationships and partnerships
  - Sustainable over time
  - Resilient and adaptable
  - Leveraging resources for collective goals
- Ultimate results
  - Stewardship
  - Conservation

CLUSTERED CORE COMPETENCIES FOR COLLABORATION
- Analytic skills
  - Stakeholder analysis
  - Issue analysis
- Cultural awareness
  - External
  - Internal/organizational
  - Tribal
- Communications
  - Listening
  - Written and oral communications
  - Translation
  - Scientists
- Negotiation
  - Interest based
- Personal traits
  - Honesty
  - Politeness
  - Creativity
  - Self awareness
  - Patience
  - Flexibility
  - Tact

- o Objectivity
  - o Resilience
  - o Neutrality
  - o Receptiveness
  - o Political savviness
  - o Leadership=shared power, transformation
- Process design
  - o Tools/process selection
  - o Documentation/record keeping
  - o Evaluation
  - o Outreach
  - o Identify/access resources
- Process management
  - o Trust building
  - o Facilitation/meeting mgmt
  - o Time mgmt
  - o Invent options/bridging
  - o Conflict mgmt
  - o Building shared vision
  - o Keeping focused
  - o Build stakeholder capacity
  - o Motivational skills
  - o Managing group dynamics, team building
  - o Accountability=bring group to decision
  - o Work across agency lines
- Subject matter knowledge
  - o Understanding agency policies
  - o Understanding legal sideboards
    - Ability to define decision space
  - o Understanding sovereignty issues
  - o Ability to link sci/sci method to collaboration process

OUTCOME: **COMPETENCIES VS. STRATEGIES**

Functions/competencies	Stakeholder	Scientists/tech experts	Neutrals/process managers
Analytical Skills • Stakeholder • Issue	✓ ✓✓	✓✓	✓✓ ✓
Cultural Awareness • Tribal	✓ ✓✓	Depends on issue	✓✓ ✓✓
Communications	✓✓	Translate ✓✓	✓✓
Negotiation	✓✓		Awareness ✓
Personal Traits	Receptiveness ✓✓ Shared power/leadership ✓✓	Objective ✓✓✓	Neutrality ✓✓ Leadership ✓✓ Receptionist ✓
Process Design	Trust building ✓	Joint fact-finding ✓✓	✓✓✓
Process Management	Shared vision, capacity, work for agency lines ✓ Accountability ✓✓	Account ✓	✓✓✓
Subject Matter Knowledge	✓✓	✓✓	✓

CONCLUSION: All strategies require elements of all these competencies.

OUTCOME: PROCESSES vs. KEY QUESTIONS
Audience: trainers, trainees, knowledgeable users of collaboration

	COLLABORATION				CONSULTATION				INFORMATION	
	ADR		Public Part.	Partnering	Cons. Blding	Inter-agency	Tribal	Public	PR	Outreach
	Facil.	Med.								
Is it sometimes or often required by statute, regulation, or executive order?			X				X	X		X
Can it be used for interagency issues?	X			X	X	X				
Are tribal interests directly involved?	X	X	X	X	X		X			
Can it be used to avoid or prevent formal conflicts and disputes?	X	X	X	X	X	X	X	X		X
Can it be used to resolve conflicts or disputes once they formally arise?	X	X			X					
Is a high level of trust required among the parties?				X						
Is confidentiality important?	X	X								
Is a neutral necessary?	X	X								
Is a neutral useful?	X	X	X		X	X				
Is the general public a key			X		X					X

stakeholder?									
Are there key precedential issues at stake? *									

*Whole list of when collaboration is inappropriate needs to beb developed.

OUTCOME: WHEN CAN I USE WHAT STRATEGY?
Audience: field staff and managers

SPECIFIC ACTIVITY	Community Based Collaboration	Partnerships	Public Participation	Joint Fact Finding	ADR
DISPUTE BETWEEN PERSONNEL					x
LAND USE PLANNING	x		x	x	
RECREATION	x	X	x		
RANGELAND HEALTH			x		
LANDS AND REALTY			x		
DISPUTE BETWEEN GOV AND PUBLIC					x
ENERGY DEVELOPMENT	x	x	x		x
WILD HORSE AND BURRO		x			
CULTURAL RESOURCE MANAGEMENT	x	x	x		
EDUCATION AND INTERPRETATION	x	x	x		

Goal: tied to programmatic, budgets, codes, performance measures.

OUTCOME: TOOL#3: DECISION TREE(S)
Too hard to develop here, but useful for the future.
Framing the questions, being specific about tasks (plans, rules, science and studies, implementing actions, etc)

GENERAL CONCLUSIONS

- Collaboration is the preferred way of doing business.
- Collaboration can be used in planning, developing regulations, managing land, resolving disputes, protecting a resource, implementing decisions, and taking action.
- It can be done early long before a decision is made or dispute arises or late after a decision has been made and challenged administratively or via litigation.
- Early collaboration is preferred over collaboration later in a decision, dispute, or action.

Collaboration includes:
- Big Ideas
- Core Principles
- Core Competencies
- And, tools and processes.

Big Ideas include: stewardship, conservation, cooperation, communication,

Tools include: advisory committees, working groups, public meetings, negotiation, public hearings, fact sheets, poster board sessions, workshops, scoping sessions, facilitation, neutral evaluation, and many others.

Processes and strategies that are collaborative and use one or more tools, include, but are not limited to and often overlap: mediation, regulatory negotiation, joint fact finding, organization development, public participation, public involvement, community-based collaboration, tribal consultation, adaptive management, joint monitoring, among others.

NEXT STEPS
- Summary of work – FACA guidance
- All review products in draft
- 2nd shot event to finalize – active P2
- How to integrate into 4 Cs
- Who to share with outside group
- Share 4 Cs training info
- How to bring resources to processes, scientists, skills, new hires, etc.
- Interface with roundtable
- Common definitions (before next time)/Glossary
- Clearinghouse of info
- List of website resources